



U.S. Department
of Transportation
**Research and
Innovative
Technology
Administration**

Memorandum

Subject: ACTION: DOT Order 1120.39A on Research, Development
and Technology Planning Council, Team, and Process

Date: APR 20 2005

From: Eric C. Peterson
Deputy Administrator
Research and Innovative Technology Administration

Reply to: Thomas Marchessault
Attn. of: RD&T Program X66373

THRU: Lindy Knapp
Deputy General Counsel

To: The Secretary

Your approval of the attached Department of Transportation (DOT) Order 1120.39A on the Research, Development and Technology (RD&T) Planning Council, Team and Process is requested.

SUMMARY:

The Order was developed in response to the establishment of the Research and Innovative Technology Administration (RITA). It creates the DOT RD&T Planning Council and RD&T Planning Team. It also describes the RD&T planning process that ensures DOT-wide coordination, integration, performance and accountability of DOT's RD&T modal and multimodal programs.

BACKGROUND:

The establishment of RITA reflects a fundamental reassessment of the importance of research, development and deployment of technological innovation to the core mission of DOT. It brings a new focus – at the highest levels – on promoting research-driven, innovative technology and processes to improve our Nation's transportation systems.

The development of the Order began in January 2005, in coordination with DOT's Office of the General Counsel and the Operating Administrations (OA). An early draft was presented to and discussed by the Administrators on February 2, 2005 at a special meeting convened by the Under Secretary for Policy and the Assistant Secretary for Budget and Programs. The final version of the Order incorporates most of the changes suggested by the OAs during the review and concurrence process.

The primary purpose of the RD&T Planning Council is to ensure crossmodal collaboration and coordination in the RD&T initiatives within DOT and with external entities.

The RD&T Planning Team will assist the RD&T Planning Council and the RITA Administrator in implementing crossmodal collaboration and coordination in DOT's RD&T initiatives.

The Department's RD&T agenda will be aligned with the *DOT Strategic Plan* and with Secretarial and Administration priorities and policies. DOT's RD&T planning process will include at least three elements: multiyear strategic planning, annual program planning, and budget and performance planning. The results of this process will be used in the development of the research portion of DOT's budget, strategic planning, and policy agenda.

The OAs will conduct RD&T activities based on their agency missions, input from stakeholder groups, knowledge of transportation systems, and technologies, within the overall framework of the Secretary's RD&T priorities and the Department's RD&T agenda.

RECOMMENDATION:

Recommend you approve and sign the DOT Order 1120.39A on Research, Development, and Technology Planning Council, Team and Process.

The Secretary:

APPROVED: _____

DISAPPROVED: _____

COMMENT: _____

DATE: _____

Attachment



U.S Department of
Transportation
Office of the Secretary
of Transportation

ORDER

DOT 1120.39A

May 2, 2005

Subject: **RESEARCH, DEVELOPMENT AND TECHNOLOGY PLANNING COUNCIL, TEAM, AND PROCESS**

1. **PURPOSE.** This Order establishes the U.S. Department of Transportation (DOT) Research, Development and Technology (RD&T) Planning Council and RD&T Planning Team. It also describes the RD&T planning process that ensures DOT-wide coordination, integration, performance and accountability of DOT's RD&T modal and multimodal programs.
2. **POLICY.** The establishment of the Research and Innovative Technology Administration (RITA) reflects a fundamental reassessment of the importance of research, development and deployment of technological innovation to the core mission of DOT. It ensures a new focus – at the highest levels – on promoting research-driven innovative technology and processes to improve our Nation's transportation systems.

As the central focus of the Department's RD&T activities, statistical analysis and research operations, RITA shall ensure that DOT RD&T funds effectively support the Department's national strategic goals and the priorities and policies of the Administration and the Secretary.

3. **CANCELLATION.** DOT 1120.37, Research and Technology Steering Committee, dated 1-13-94; DOT 1120.39, Research and Technology Coordinating Council, dated 4-18-84.
4. **REFERENCES.** Norman Y. Mineta Research and Special Programs Improvement Act [Public Law No. 108-426, 118 Stat. 2423 (November 30, 2004)]
5. **RESEARCH, DEVELOPMENT AND TECHNOLOGY PLANNING COUNCIL PURPOSE AND FUNCTION.** The primary purpose of the RD&T Planning Council shall be to ensure crossmodal collaboration and coordination in the RD&T initiatives within DOT and with external entities. The RD&T Planning Council shall perform the following functions:
 - a. Advise the Secretary on RD&T policies and priorities necessary to support the *DOT Strategic Plan* and Administration and Secretarial policy and objectives.

- b. Maintain a dialogue with the private sector and transportation stakeholders to identify, facilitate and leverage transportation RD&T partnerships that will improve the Nation's transportation system and enhance economic competitiveness.
 - c. Advise the RITA Administrator on the oversight of the Department's Volpe National Transportation Systems Center.
 - d. Lead the Department's RD&T Planning Team in providing policy guidance recommendations and ensuring RD&T budget and performance integration.
 - e. Review and approve recommendations of the RD&T Planning Team on RD&T priorities and initiatives in DOT-wide multiyear and annual RD&T plans, as well as other related plans, as appropriate.
 - f. Coordinate the external review of DOT's Annual RD&T Plan.
 - g. Oversee the application of the President's Management Agenda Research and Development (R&D) Investment Criteria across all DOT RD&T programs.
 - h. Uphold the highest standards for RD&T quality, transparency, and ethical conduct, and oversee adherence to the *DOT Implementation Guidance for the Federal Policy on Research Misconduct*.
 - i. Prevent unnecessary duplication of RD&T efforts within the Department.
 - j. Identify and leverage funding for DOT RD&T activities.
6. **RD&T PLANNING COUNCIL MEMBERSHIP.** The RD&T Planning Council shall be comprised of the following DOT Officials:
- a. Principal Members:
 - (1) Under Secretary for Policy
 - (2) Assistant Secretary for Transportation Policy
 - (3) Assistant Secretary for Budget and Programs/Chief Financial Officer
 - (4) Assistant Secretary for Aviation and International Affairs
 - (5) Chief Information Officer
 - (6) Director of the Office of Intelligence, Security, and Emergency Response
 - (7) Director of the Office of Small and Disadvantaged Business Utilization
 - (8) Administrator, Federal Aviation Administration
 - (9) Administrator, Federal Highway Administration
 - (10) Administrator, Federal Railroad Administration
 - (11) Administrator, Federal Motor Carrier Safety Administration

- (12) Administrator, National Highway Traffic Safety Administration
- (13) Administrator, Federal Transit Administration
- (14) Administrator, Maritime Administration
- (15) Administrator, Research and Innovative Technology Administration
- (16) Administrator, Pipeline and Hazardous Materials Safety Administration
- (17) Administrator, Saint Lawrence Seaway Development Corporation

b. RITA Staff Advisors:

- (1) Associate Administrator for Research, Development and Technology
- (2) Associate Administrator for the Volpe National Transportation Systems Center
- (3) Associate Administrator for the Bureau of Transportation Statistics

7. **RESEARCH, DEVELOPMENT AND TECHNOLOGY PLANNING TEAM PURPOSE AND FUNCTIONS.** The primary purpose of the RD&T Planning Team shall be to assist the RD&T Planning Council and the RITA Administrator in ensuring crossmodal collaboration and coordination in DOT's RD&T initiatives. The RD&T Planning Team shall perform the following functions:

- a. Assure the application of Administration and Secretarial RD&T priorities and policies and guidance from the RD&T Planning Council.
- b. Under the oversight of the Assistant Secretary for Budget and Programs, and the RD&T Planning Council, review Operating Administrations' RD&T plans and budgets to enhance collaboration and coordination, identify gaps, and prevent duplication.
- c. Assess RD&T programs to ensure that they meet the President's Management Agenda R&D Investment Criteria for relevance, quality, and performance and address DOT Departmental-level mission goals.
- d. Ensure that RD&T programs meet legislative, Administration and agency mandates, uphold the highest standards for RD&T quality and ethical conduct, and promote adherence to the *DOT Implementation Guidance of the Federal Policy on Research Misconduct*.
- e. Coordinate, facilitate and leverage internal and external RD&T activities.
- f. Promote efficient business practices for DOT's RD&T programs, including research performance, technology transfer and information dissemination.

- g. Collaborate with other departments, agencies, and industry and other stakeholders to promote, facilitate and leverage RD&T partnerships.
 - h. Participate in the preparation and review of DOT-wide multiyear and annual RD&T plans and other related plans.
 - i. Work with transportation stakeholders to identify RD&T priorities and new technology opportunities, without duplicating the stakeholder outreach efforts of the Operating Administrations.
 - j. Promote and facilitate the deployment and implementation of RD&T results.
8. **RD&T PLANNING TEAM MEMBERSHIP.** The RD&T Planning Team shall be comprised of the following DOT Officials or their equivalent:
- a. Counselor to the Under Secretary for Policy
 - b. Deputy Assistant Secretary for Transportation Policy
 - c. Deputy Assistant Secretary for Budget and Programs
 - d. Federal Aviation Administration, Air Traffic Organization – Operations Planning (ATO-P) R&D
 - e. Federal Aviation Administration, Associate Administrator for Commercial Space Transportation
 - f. Federal Highway Administration, Associate Administrator for Research, Development and Technology
 - g. Federal Railroad Administration, Deputy Associate Administrator for Railroad Development
 - h. Federal Highway Administration, Program Manager, Intelligent Transportation Systems/Joint Program Office
 - i. National Highway Traffic Safety Administration, Associate Administrator for Vehicle Safety Research
 - j. National Highway Traffic Safety Administration, Director, Research and Technology Office
 - k. Saint Lawrence Seaway Development Corporation Representative
 - l. Maritime Administration, Associate Administrator for Financial Approvals and Cargo Preference
 - m. Federal Transit Administration, Associate Administrator for Research, Demonstration and Innovation
 - n. Federal Motor Carrier Safety Administration, Associate Administrator for Research, Technology and Information Management
 - o. Pipeline and Hazardous Materials Safety Administration, Chief Safety Officer
 - p. Research and Innovative Technology Administration, Associate Administrator for Research, Development and Technology
 - q. Research and Innovative Technology Administration, Associate Administrator/Director, Volpe National Transportation Systems Center

- r. Research and Innovative Technology Administration, Associate Administrator/Director, Bureau of Transportation Statistics

9. **RD&T PLANNING COUNCIL AND TEAM OPERATIONS.**

a. RD&T Planning Council Operations

- (1) The Administrator of RITA shall chair the DOT RD&T Planning Council.
- (2) The DOT RD&T Planning Council shall receive periodic reports from the RD&T Planning Team, other DOT crossmodal RD&T committees, and the Administrator of RITA.
- (3) The RITA Associate Administrator for RD&T shall serve as Executive Secretary of the RD&T Planning Council and shall provide staff support to facilitate the work of the Council.
- (4) The RD&T Planning Council shall report its actions and recommendations to the Secretary.

b. RD&T Planning Team Operations

- (1) RITA's Associate Administrator for RD&T shall chair the RD&T Planning Team.
- (2) RITA's Associate Administrator for RD&T shall designate an Executive Secretary who shall facilitate the work of the Team.
- (3) The RD&T Planning Team shall report its actions and recommendations to the RD&T Planning Council.
- (4) The RD&T Planning Team shall establish standing subcommittees and *ad hoc* working groups, as necessary, to address matters requiring greater deliberation and discussion than is possible in a regular Planning Team meeting. The standing subcommittees and *ad hoc* working groups shall work expeditiously to develop recommendations for action and submit periodic reports to the Team, as necessary or as requested.
- (5) Crossmodal RD&T working teams and committees shall coordinate their efforts with the RD&T Planning Team.
- (6) The RD&T Planning Team shall adopt participative consensus-based decision making procedures. In the absence of consensus, options for resolution shall be referred to the RD&T Planning Council.

10. RD&T PLANNING COUNCIL AND TEAM MEETINGS.**a. RD&T Planning Council Meetings**

- (1) Council meetings shall be attended by Council principals; however, members may designate their deputies or other senior officials to represent them.
- (2) Although the Council may schedule meetings as needed to address the DOT RD&T strategic planning, funding, priorities, or other RD&T issues, the Council shall meet at least quarterly. The Council shall attempt to provide at least two weeks advance notice for all scheduled meetings.
- (3) Agenda topics addressed by the Council shall include any items needed to advance the objectives of the Council. Any member of the Council may recommend agenda topics to the Chair.

b. RD&T Planning Team Meetings

- (1) The Planning Team shall meet at least quarterly or as frequently as needed to fulfill its purpose and objectives. The Team shall attempt to provide at least two weeks advance notice for all scheduled meetings.
- (2) Agenda topics shall include any items needed to advance the objectives of the Planning Team. Any member may recommend agenda topics to the Chair.

11. RD&T COUNCIL AND TEAM ADMINISTRATIVE SUPPORT.

- a. The RITA Associate Administrator for RD&T shall serve as the Executive Secretary of the RD&T Planning Council and shall provide the necessary staff support to maintain records and files, document the proceedings of the RD&T Planning Council, prepare memoranda to the Secretary regarding Council activity and recommendations, and coordinate the development of these documents among Council Members and Advisors.
- b. The RITA Associate Administrator for RD&T shall provide administrative support to the RD&T Planning Team by preparing draft agendas, disseminating documents for review and incorporating views, comments and changes as necessary, and maintaining a DOT intranet web site with the approved minutes and documents pertinent to the functioning of the RD&T Planning Team.

- c. The RITA Associate Administrator for RD&T shall designate staff to write the minutes of the RD&T Planning Council and Team meetings. The minutes will be distributed for review and comments before being finalized.

12. **RESEARCH, DEVELOPMENT AND TECHNOLOGY PLANNING PROCESS.**

The Department's RD&T agenda shall be aligned with the *DOT Strategic Plan* and with Secretarial and Administration priorities and policies. The Operating Administrations shall conduct RD&T activities based on their agency missions, input from stakeholder groups, knowledge of transportation systems, and technologies, within the overall framework of the Secretary's RD&T priorities and the Department's RD&T agenda.

RITA shall work with the Operating Administrations, individually and through the RD&T Planning Council and Team, to define Departmental RD&T priorities and to ensure RD&T program effectiveness.

RITA shall also foster collaboration in RD&T activities—within DOT, across the Government, and with partners in state and local transportation agencies, not-for-profit institutions, academia, and industry.

DOT's RD&T planning process shall include at least three elements: multiyear strategic planning, annual program planning, and budget and performance planning.

a. Multiyear Strategic Planning

RITA shall work with the RD&T Planning Council and Team to define long-term, multiyear RD&T strategies for incorporation into the *DOT Strategic Plan*.

- (1) Administration and Secretarial policies and priorities shall be communicated by the Secretary or other senior DOT officials through policy and program guidance to the RITA Administrator and the RD&T Planning Council.
- (2) The Operating Administrations shall determine their long-term priorities based on Administration and Secretarial priorities, and mission requirements and customer needs.
- (3) The RD&T Planning Team shall develop recommendations for DOT-wide priorities and submit them to the RD&T Planning Council for review. In addition to Administration, Secretarial and modal priorities, recommendations shall consider the results of technology scans, stakeholder outreach, and interactions with other agencies. Approved RD&T priorities shall be incorporated into the *DOT Strategic Plan*.
- (4) Working with the Operating Administrations, RITA shall prepare a multiyear RD&T Strategic Plan that defines DOT-wide RD&T priorities and

goals; supporting programs; and the roles of other agencies, state and local governments, and other transportation stakeholders. The multi-year RD&T Strategic Plan shall be updated periodically to reflect the changing dynamics of technologies, priorities, mandates, and national emergencies.

b. Annual Program Planning

Annual RD&T planning will flow from DOT's multiyear planning and will be linked to the budget process.

- (1) The Operating Administrations shall formulate annual RD&T programs based on modal mission requirements, Congressional mandates, customer needs, and interactions with external stakeholders, as well as Administration and Departmental policies and priorities.
- (2) Administration and Departmental priorities shall be communicated through executive and policy guidance from the RITA Administrator through the RD&T Planning Council.
- (3) Considering both DOT and modal priorities, the RD&T Planning Team shall develop recommendations for DOT-wide annual priorities for review and approval by the RD&T Planning Council. Approved priorities shall be included in Office of the Secretary's budget guidance to the Operating Administrations for the upcoming fiscal year and in the annual DOT RD&T Plan submitted to Congress.
- (4) The RD&T Planning Council shall coordinate the external review of the Department's annual RD&T Plan.

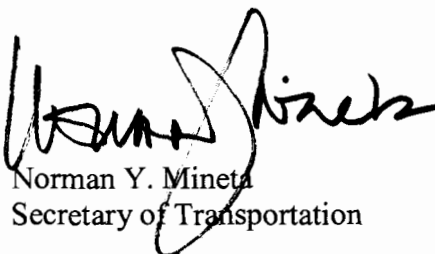
c. Budget and Performance Planning

RITA shall work with the RD&T Planning Council and Team to support RD&T budgeting and performance planning:

- (1) In coordination with the RD&T Planning Council and Team, the RITA Administrator shall forward RD&T policy and programmatic guidance recommendations to the Secretary for inclusion in the annual budget instructions of the Office of the Assistant Secretary for Budget and Programs.
- (2) The RITA Administrator shall support the RD&T Planning Council and Team in assessing the Operating Administrations' application of the President's Management Agenda R&D Investment Criteria.

- (3) Through the RD&T Planning Council and Team, the RITA Administrator shall review modal RD&T budgets to ensure consistency with Departmental priorities.
- (4) The RITA Administrator shall work with the Office of the Assistant Secretary for Budget and Programs and the Office of Management and Budget to ensure that Departmental and Operating Administration performance plans include measures and targets for RD&T, and that the RD&T performance mandates are met.




Norman Y. Mineta
Secretary of Transportation